Technology Transfer Risk Assessment

Block I - Access and Risk

A. Summary:

B. Details of Visit:

C. Work Area:

Building:
Room number or descriptive identification:
Unescorted Access (Yes/No):

D. Resources Required:

1. Computers:
_____ N/A
_____ Separate Data Connection Only
_____ NASA-Provided Computer
_____ Internet *only*
_____ Internet and Internal Web Page (PUB[1] data only)
_____ Access-Controlled Web Pages (MSN, BRT, SER, ADM data) Listing these is mandatory
_____ Virtual Private Networks (VPN)

Note: Access is separately granted by the KSC Host's Branch Chief or higher-level NASA manager per NPG 2810.1, Paragraph 4.7.7.g and KSC Host's signature below certifies that this access has been requested.

2. Libraries:
_____ N/A
_____ KSC Library Documents Department in Headquarters
_____ Engineering Documentation Center (EDC) in Headquarters
_____ Technical Data Center (TDC) in the Operations Support Building
_____ CAPPS Documentation Center (CDC) in the Space Station Preparation Facility
_____ Others: Listing these is mandatory

E. Sponsor Data: (*The Sponsor Data is information required for the person requesting the visit by the foreign visitor. This is the person responsible for the foreign visitor during their visit at KSC and this person must provide escorts as required.*)

Full Name:
Mail code:
Office Telephone Number:
E-mail address:

Block II - Visitor Identification

Full Name:
Job Title:
Home Address:
Telephone Number:
Facsimile Number (if any):
Social Security Account Number (if any):
Date and Place of Birth:
Nationality:

[1](See instructions for Block I, paragraph D.)
   Affiliation/Employer:
   Organization Name:
   Address:
   Telephone Number:
   Facsimile Number:
   Human Resources/ Company Official Contact:

Block III Visitor Documentation

A. Passport:
    Number:
    Issued by:
    Place Issued:
    Date Issued:
    Date Expires:

B. Visa, Etc.:
    Class:
    Number:
    Date Issued:
    Date Expires:
    Special Annotations (e.g., permission to work in the U.S.):

C. LPR ("Green Card") Status:
    Certificate Type (Asylee/Refugee/ Permanent/Other Temporary):
    Number:
    Date Issued:
    Date Expires (if not Permanent):

Block IV Certification and Approval

APPROVALS:

KSC Host   _____

Export Control Representative   _____

Center Export Administrator   _____

Technology Transfer Risk Assessment Instructions

NASA and Contractor personnel may receive foreign national (FN) visit requests from several sources including, but not limited to: their own organization, NASA Headquarters, other NASA Centers, or even from FN visitors themselves. Regardless of the source, it is the responsibility of the potential host to insure that appropriate information associated with the visit is collected, recorded and supplied to the Center International Visits Coordinator or CIVC.

That information is divided into three major blocks labeled: Access and Risk, Visitor Identification, and Visitor Documentation.

Block I - Access and Risk

A. <u>Summary</u>: Provide the international visitor's name, nationality, and specialty; what project or program they will be here to support, where they will work, their sponsor's name, and the code or company they will be working with.

B. <u>Details of Visit</u>: Expand upon the summary, above. Explain what technologies the international visitor will have access to, identify the facilities the visitor will need access to, summarize the topics they will discuss under the project they are here to work on. Identify technologies that will be vulnerable to inadvertent or covert exposure. Describe steps that will be taken to prevent access, including training to be given to co-workers and managers.

C. <u>Work Area</u>: State what buildings and rooms the visitor will have access to, both every day and occasionally. The question on unescorted access pertains to the every day access, so be sure to differentiate between every day and occasional access carefully.

D. <u>Resources Required</u>:

     1. Computers: This data will be used by the OAO ODIN contractor or the corporate IT organization to set up the FN visitor's computer workstation. There are limitations on what NASA KSC will allow; e.g., video cameras hooked up to the Internet will not be allowed. NPG 2810.1, Appendix A, Section A.3, has detailed definitions for the categories of NASA information used on this form:

     MSN = Mission
     BRT = Business and Restricted Technology
     SER = Scientific, Engineering, and Research
     ADM = Administrative
     PUB = Public Access

You <u>must</u> list all access-controlled web pages you want the FN visitor to have access to.

     2. Libraries: FN access to libraries is limited to public-domain technical data ordinarily. If the FN visitor's duties require access to export-controlled, proprietary, or other access-controlled technical data, the host has to request this and be able to demonstrate how it is authorized by international agreement, license, and/or exemption/exception.   The host must also describe the means that will be applied to preventing inadvertent or covert access to *un*authorized technical data.

     3. Virtual Private Network (VPN) access may be required if the FN visitor's duties require them to operate programs on their home organization's Local Area Network (LAN) such as logging hours for pay purposes or operating specialized applications that are only available to them there.

E. Sponsor Data: Self-explanatory.
The Sponsor Data is information required for the person requesting the visit by the foreign visitor. This is the person responsible for the foreign visitor during their visit at KSC and this person must provide escorts as required.

Block II - Visitor Identification

1.   Social Security Account Number (SSAN). Only a few FNs will have a U.S. SSAN. All Canadians have a similar number, but it is an eight-digit number instead of our nine-digit SSAN.

2.   Nationality. Dual nationality is not recognized in U.S. law. If a FN visitor is a dual-national citizen of Canada, they will have to be on a list of approved persons and companies approved to do defense business. In all other cases, the person has to be considered a national of the worst-case country; e.g., a British - PRC dual citizen would be considered a PRC national.

Block III Visitor Documentation

A. Passport. Self-explanatory. Note that there are special cases for Visa- free countries and NAFTA, so a passport and visa may not exist. Confer with your ECR/CER or the CIVC if this occurs.

B. Visa, Etc.:

1.   Canadians traveling and working here may possess only a TN stamp on the back of a ticket stub or other "Found" paper. The number is important, but you may not be able learn what it is until the visitor actually gets here.

2.   Special Annotations include permission to work in the U.S., which is not automatic with every class of visa. E.g., a B1/B2 visa allows the FN to travel in the U.S. on vacation or business, but any work they do here must be paid for by their overseas employer and not by any U.S. entity.

C. LPR ("Green Card") Status. Since LPR status confers unhampered access to export-controlled technical data, it is particularly important to have this information. Note that Asylee/Refugee status is temporary and almost always expires one year from the date it was granted. Most other LPRs are permanent, but not all are.

Remember. As host, you are responsible for what your FN visitor does. You are responsible for the success of the visit as well as for the security of the access-controlled technical data that may properly be used by the FN visitor - and that which they are not allowed to get. The KSC Host is the designated responsible Government or Company official responsible for the implementation of the TTRA. The Host must gather the required information required in Block II and Block III and brief the KSC Sponsor as to the restrictions imposed by the TTRA in Block I. The KSC Host verifies by his/her signature that the form is completed and signed by the ECR and CEA.

Center International Visit Coordinator: Ms. Sheila Perry, (321) 867-2452, Sheila.M.Perry@nasa.gov

Center Export Administrator: Mr. Wayne Ranow, (321) 867-6066, Wayne.Ranow-2@nasa.gov

Associate Center Export Administrator: Ms. Melanie Chan, (321) 867-6367, Melanie.Chan-1@nasa.gov

Your Export Control Representative/Contractor Export Representative: _____

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